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IN THE

Supreme Court of the United States

OCTOBER TERM, 1966

No. 300

In the Matter of

LOUIS KAYE,

Petitioner,

—against—

CO-ORDINATING COMMITTEE ON DISCIPLINE,

Respondent.

ON PETITION FOR WRIT OF CERTIORARI TO THE APPELLATE DIVISION OF THE SUPREME COURT OF THE STATE OF NEW YORK, FIRST DEPARTMENT

RESPONDENT'S BRIEF IN OPPOSITION

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IN THE

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In the Matter of

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Preliminary Statement

This is a petition for a writ of certiorari to review the order of the Appellate Division of the Supreme Court of the State of New York, First Department, entered on January 13, 1966, disbarring petitioner from practice as an attorney and counselor-at-law.

Statutes, Rules and Orders

The Judiciary Law of the State of New York, Section 90, Admission to and removal from practice by appellate division:

> 2. The supreme court shall have power and control over attorneys and counsellors-at-law and all persons practicing or assuming to practice law, and the appellate division of the supreme court in each department is authorized to censure, suspend from practice or remove from office any attorney and counsellor-at-law admitted to practice who is guilty of professional misconduct, malpractice, fraud, deceit, crime or misdemeanor, or any conduct prejudicial to the administration of justice . . .
>
> • • • • •
>
> 6. Before an attorney or counsellor-at-law is suspended or removed as prescribed in this section, a copy of the charges against him must be delivered to him personally within or without the state or, in case it is established to the satisfaction of the presiding justice of the appellate division of the supreme court to which the charges have been presented, that he cannot with due diligence be served personally, the same may be served upon him by mail, publication or otherwise as the said presiding justice may direct, and he must be allowed an opportunity of being heard in his defense . . .

Special Rules of the Appellate Division, First Department, Regulating Conduct of Attorneys:

Rule IV. Claims or actions for personal injuries, property damage, wrongful death, loss of services resulting from personal injuries and claims in connection with condemnation or change of grade proceedings. (1) Statements as to retainers; blank retainers.

(a) Every attorney who in connection with any action or claim for damages for personal injuries or for property damages or for death or loss of services resulting from personal injuries or in connection with any claim in condemnation or change of grade proceedings accepts a retainer or enters into an agreement express or implied, for compensation for services rendered or to be rendered in such action, claim or proceeding, whereby his compensation is to be dependent or contingent in whole or in part upon the successful prosecution or settlement thereof, shall, within thirty days from the date of any such retainer or agreement of compensation, sign personally and file with the Judicial Conference of the State of New York a written statement of such retainer or agreement of compensation, containing the information hereinafter set forth. Such statement may be filed personally by the attorney or his representative at the main office of the Judicial Conference in the City of New York, and upon such filing he shall receive a date stamped receipt containing the code number assigned to the original so filed . . .

(2) Closing Statement: statement where no recovery.

(a) A closing statement shall be filed in connection with every claim, action or proceeding in which a retainer statement is required, as follows: Every attorney upon receiving, retaining or sharing any sum in connection with a claim, action or proceeding subject to this rule shall, within fifteen days after such receipt, retention or sharing, sign personally and file with the Judicial Conference and serve upon the client a closing statement as hereinafter provided. Where there has been a disposition of any claim, action or proceeding or a retainer agreement is terminated, without recovery, a closing statement showing such fact shall be signed personally by the attorney and filed with the Judicial Conference within thirty days after such disposition or termination. Such statement may be filed personally by the attorney or his representative at the main office of the Judicial Conference in the City of New York and upon such filing he shall receive a date stamped receipt . . .

(6) Preservation of records of claims and actions.

Attorneys for both plaintiff and defendant in the case of any such claim or cause of action shall preserve, for a period of at least five years after any settlement or satisfaction of the claim or cause of action or any judgment thereon or after the dismissal or discontinuance of any action, the pleadings and other papers pertaining to such claim or cause of action, including, but not limited to, letters or other data relating to the claim of loss of time from employment or loss of income; medical reports, medical bills, X-ray reports, X-ray bills; repair bills, estimates of repairs; all correspondence concerning the claim or

cause of action; and memoranda of the disposition thereof as well as canceled vouchers, receipts and memoranda evidencing the amounts disbursed by the attorney to the client and others in connection with the aforesaid claim or cause of action.

Order of the Appellate Division, First Department, February 3, 1959:

Pursuant to the provisions of Section 90 of the Judiciary Law and in the exercise of the inherent powers of this court the Justices of the Appellate Division of the Supreme Court in and for the First Judicial Department do hereby

Order a continuous examination and study of the Statements of Retainer and Closing Statements filed with the Appellate Division in the First Judicial Department, pursuant to the applicable rules of this court, for the following purposes: 1. Compilation and interpretation of relevant statistics and data; 2. Observation, consideration and, where necessary, correction of the professional conduct of attorneys and those employed by them or associated with them in any manner whatever in representing either plaintiffs or defendants or their indemnitors, insurers, subrogors, or subrogees in those actions in which such statements are required to be filed by the rules of the court; and it is further

Ordered that this examination and study shall continue until further order of this court; that the same be conducted under the supervision of the Presiding Justice of this court by such employees of this court and of the Supreme Court in and for the First Judicial Department as he may designate and by the members of the Co-ordinating Committee on Discipline and such members of the Griev-

ance Committee of the Association of the Bar of the City of New York, the Committee on Discipline of the New York County Lawyers Association and the Grievance Committee of the Bronx County Bar Association as may be designated and it is further

Ordered that all subpoenas issued by the Clerk of this court in connection with this examination and study be made returnable at the Courthouse of the Appellate Division in and for the First Judicial Department at 25th Street and Madison Avenue, New York, New York, or at the office of the Association of the Bar of the City of New York, the New York County Lawyers Association or the Bronx County Bar Association or such other places as may be designated by the Presiding Justice of this court, and that all examinations and hearings be held at said places or such other places as may be designated by the Presiding Justice of this court, and it is further

Ordered that all pertinent records, papers and documents filed in this court shall be available for the purpose of this examination and study.

Dated, New York, February 3, 1959.

BERNARD BOTEIN
Presiding Justice

CHARLES D. BREITEL
MARTIN M. FRANK
JAMES B. M. MCNALLY
FRANCIS L. VALENTE
HAROLD A. STEVENS
Associate Justices

Revised Rules of the Supreme Court of the United States, Adopted April 12, 1954, Effective July 1, 1954, as amended through June, 1964.

Rule 8—Disbarment:

> Where it is shown to the court that any member of its bar has been disbarred from practice in any State, Territory, District, Commonwealth, or Possession, or has been guilty of conduct unbecoming a member of the bar of this court, he will be forthwith suspended from practice before this court. He will thereupon be afforded the opportunity to show good cause, within forty days, why he should not be disbarred. Upon his response to the rule to show cause, or upon the expiration of the forty days if no response is made, the court will enter an appropriate order; but no order of disbarment will be entered except with the concurrence of a majority of the justices participating.

New York Civil Practice Law and Rules, Section 2304:

> §2304. Motion to quash, fix conditions or modify. A motion to quash, fix conditions or modify a subpoena shall be made promptly in the court in which the subpoena is returnable. If the subpoena is not returnable in a court, a request to withdraw or modify the subpoena shall first be made to the person who issued it and a motion to quash, fix conditions or modify may thereafter be made in the supreme court. Reasonable conditions may be imposed upon the granting or denial of a motion to quash or modify.

Statement of Facts

On January 13, 1966, pursuant to New York Judiciary Law, Section 90, the Appellate Division of the Supreme Court of the State of New York, First Department, ordered the petitioner disbarred and his name struck from the roll of attorneys and counselors-at-law, effective February 14, 1966.

The inquiry which led to petitioner's disbarment began with a complaint from one Abraham Gelman, received by the Committee on Grievances of the Association of the Bar of the City of New York. On September 12, 1963, the Committee on Grievances referred the matter to respondent for further action.

Gelman was interviewed by a member of respondent's legal staff on September 23, 1963. Shortly thereafter, on October 3, 1963, respondent sent petitioner a letter advising him of its investigation and requesting him to appear before the respondent on October 29, 1963.

On the latter date, petitioner appeared in person and requested an adjournment of the proceeding, which was granted.

Thereafter, on or about December 9, 1963, respondent served a subpoena duces tecum upon petitioner directing that he appear with certain of his specified records on January 10, 1964.

After a number of adjournments at petitioner's request, he appeared and testified before the respondent on February 28, 1964. In addition to his appearance on February 28th, the petitioner testified before the respondent on March 24, 1964, and on both occasions was accompanied

by counsel, a former assistant district attorney for New York County. A total of 167 pages of testimony was taken and 54 exhibits were marked for identification during petitioner's appearances.

At the close of the March 24th hearing, petitioner's counsel asked for time to read the minutes of his client's testimony so that he might submit additional clarifying data if he deemed it necessary. Petitioner was advised that the minutes of the proceeding were available to him. However, neither petitioner nor his attorney thereafter requested an opportunity to inspect them, whereupon the respondent, by letters dated April 8, 16 and 21, 1964, asked petitioner's counsel whether he intended to supply any additional clarifying data. Neither petitioner nor his counsel replied to the respondent's queries nor did either accept the respondent's offer to make a copy of the minutes of March 24th available for inspection.

As part of its preliminary inquiry, the respondent also questioned witnesses under oath. It also introduced documents submitted by such witnesses, the files of various insurance companies, and statements of retainer or closing statements filed with the Judicial Conference of the State of New York, pursuant to Rule IV(1)(a) and (2)(a) of the Special Rules of the Appellate Division, First Department, Regulating the Conduct of Attorneys. This is the evidence, together with the testimony given in the preliminary investigation by petitioner himself, which was offered or sought to be offered by trial counsel for the respondent before the referee, for the purpose of sustaining the charges brought in the Appellate Division.

Throughout the preliminary inquiry, petitioner sought to impress everyone with his often-stated desire to cooperate

to the fullest with the investigation. On October 29, 1963, on the occasion of his first appearance before the respondent, the petitioner stated "I haven't even the slightest compunction of conscience about giving you information . . . I will answer your questions" (CC 11*). When the petitioner returned on February 28, 1964, in the company of counsel, his first statement apprised the respondent that he had attempted to abide by the subpoena of the respondent with "celerity" and "dispatch." His counsel stated that, "We are here to do what we can do to comply with the subpoena and the requests of the Committee. Now, let us get on" (CC 19, 20, 21). On his last appearance before the respondent on March 24, 1964, petitioner advised that he had brought with him whatever was subject to the subpoena and more "so as to refresh my recollection" (CC 99).

Additional assurances of petitioner's intention to cooperate with the inquiry are noted: "I want to comply with the subpoena" (CC 87); "Adjourn the case for a month, and I will get everything together" (CC 88); "I will produce the checkbooks, the files. I'll show you every paper that I have in my case" (CC 89).

At no time during the preliminary inquiry did the petitioner invoke any privilege either under the New York State or the United States Constitution. During this same period, no objection was raised to the service of a subpoena upon petitioner, nor was any challenge made to its scope.

On May 12, 1964, respondent filed a petition charging the petitioner with nine substantive acts of misconduct, based upon the evidence adduced in its preliminary inquiry. These included charges of "farming out" of negli-

* References are to testimony before the Co-ordinating Committee.

gence cases, conversion of clients' funds, compromising infants' claims without court orders, failure to file statements of retainer and closing statements, failure to maintain a special account, and harboring a disbarred lawyer.

The petitioner's answer of July 22, 1964, generally denied the charges and alleged that the entire proceeding was based on illegally obtained evidence taken from his law office with respondent's knowledge. Petitioner further alleged that he appeared before the respondent in order to avoid any charge of contempt or lack of cooperation and therefore, that his appearance could not be construed as a waiver of his constitutional rights.

Allegation number nine of petitioner's answer of July 22, 1964, contains his first assertion of any right guaranteed under either federal or state constitutions:

> "9. That your respondent has never waived his constitutional privileges as a citizen, and hereby invokes the rights, privileges and immunities afforded to him as a citizen under the Bill of Rights; under Article 14 of the United States Constitution, and under Article 1, Section 6, of the State Constitution, and all other provisions therein, whereby citizens are protected and safeguarded against the invasion of their constitutional rights against self-incrimination and against the unlawful search and seizure of private papers and other information without a search warrant having been duly obtained."

Upon the Court's appointment of a referee to hear the evidence and report thereon, the respondent noticed the proceeding for trial on September 29, 1964. However, on September 21, 1964, before the appointed trial date, peti-

tioner moved the Appellate Division for an order suppressing evidence allegedly developed by the respondent in its preliminary investigation and for other relief. In its affidavit of September 30, 1964, the respondent, through its counsel, denied that any evidence had been illegally obtained or used in its proceeding against petitioner and furnished the Court with a chronology of the events underlying the inquiry which clearly set forth the genesis of the inquiry and the sources of information relied upon by respondent, thereby demonstrating that no evidence was obtained improperly.

On October 29, 1964, the Appellate Division denied petitioner's motion in all respects.

Hearings before the referee were held on January 27, 28, February 3, March 22, 25, and April 5, 7, 21, 26, 1965.

During the hearings, respondent sought to offer in evidence petitioner's entire testimony before the respondent. Petitioner objected to this offer on the grounds that it had been illegally obtained and that he had been coerced into giving testimony before the respondent.

The referee admitted those statements made by petitioner before the respondent which constituted admissions against interest.

Petitioner refused to testify on his own behalf, invoking the constitutional privileges raised in his answer to the petition. Petitioner again objected to the introduction in evidence of documents he alleged had been stolen, but did not offer any proof in support of his objection.

The referee's report of July 23, 1965, sustained most of the charges against petitioner, and upon its issuance, the

petitioner applied for an order remanding the proceeding to the referee for the purpose of receiving in evidence his entire testimony before respondent or, in the alternative, directing that all of petitioner's aforesaid testimony be incorporated in the record before the Appellate Division and permitting the parties to file supplemental briefs.

In support of his application, petitioner's affidavit of October 21, 1965, swore:

> ". . . that certain purely formal positions I took in the course of this case in terms of the privilege against self incrimination have not as a practical matter involved me in any such privilege-grounded refusal to give information about myself since I did testify fully and freely and answered all questions before the Coordinating Committee knowing that such would be admissible in evidence against me in any subsequent disciplinary hearing as extra-judicial admissions. In any event, if anyone should deem that there does still lurk in this record some connotation that I, as a lawyer, have 'taken the Fifth Amendment' in a professional inquiry concerning my own fitness to practice, the granting of the within motion to incorporate my full Coordinating Committee testimony into this record before the Referee and before this Court would be of value to my cause as constituting an amends by me for any such possible 'Fifth Amendment' impact of my prior purely formal references to the privilege against self incrimination. And while it is true that I did not testify in the Referee hearings, that was only because at that stage I was still concerned with preserving the formalities of my constitutional claim concerning self incrimination, and it did not occur by way

of refusal on my part to take the stand at the request of the petitioners herein or of the Referee or in defiance of any subpoena . . . "

Respondent, at the same time, moved to confirm that portion of the report which sustained the charges and to disaffirm that portion which failed to sustain certain charges.

Petitioner's motion was denied while respondent's was granted in its entirety, all of the charges against petitioner having been found sustained.

POINT I

The privilege against self-incrimination does not extend to statements which may merely subject an attorney to disciplinary action.

Recognizing the fact that a defense of the charges made against him in the disciplinary proceeding could not conceivably require him to incriminate himself in the conventional sense, petitioner here seeks to broaden the protection against self-incrimination by claiming that the privilege encompasses statements which might tend to subject him to professional discipline (petitioner's Point I).

The Constitution of the United States, Amendment V, provides in part: "No person . . . shall be compelled in any criminal case to be a witness against himself . . . "

The privilege by its very terms is limited to situations in which an individual is forced to give evidence which would connect him to the commission of a crime or might result in his being charged with a crime. It does not give the individual the right to refuse to answer questions of

any kind or in any context which might have unfavorable consequences to him other than incrimination.

This distinction is clearly demonstrated in situations where an attorney testifies before a grand jury investigating a crime pursuant to a grant of immunity.

For example, in a bribery investigation, the client of an attorney may testify that he delivered to his attorney a quantity of money with the understanding that it would be paid to a public official. The attorney might testify before the grand jury under the grant of immunity, and fully admit his complicity in this scheme. He could not thereafter be indicted for the crime of bribery but he could, nevertheless, clearly be subject to disciplinary proceedings for conduct unbecoming a member of the Bar.

This Court has recognized that the privilege against self-incrimination does not encompass statements which might subject an attorney to disciplinary action. Thus, its rules provide that where its attention has been drawn to circumstances which might warrant the imposition of discipline upon a member of its Bar, it will order such attorney to show cause why disciplinary action should not be imposed (Revised Rules of the Supreme Court of the United States, Rule 8). Such a procedure is inconsistent with the view that a disciplinary proceeding is in any sense criminal in nature (and therefore encompassed within the privilege) since, in effect, it requires "the defendant" to come forward with his explanation.

Carried to its logical conclusion, petitioner's argument that the Fifth Amendment privilege applies to statements which might result in disciplinary action, would result in forcing the Appellate Division to certify the admitted briber in our example above, as an attorney in good standing, licensed to practice as an officer of the Courts.

The nature of a disciplinary proceeding has been discussed at length by almost every state court having jurisdiction over its attorneys. Many state courts have held that such proceedings are civil in nature, *In re Chernoff*, 26 A. 2d 335, 344 Pa. 527; *In re Harrell*, 23 So. 2d 92, 156 Fla. 327; *In re Elton*, 152 N. E. 2d 850, 14 Ill. 2d 338; *In re Pennica*, 177 A. 2d 721, 36 N. J. 401; *In re Lieberman*, 125 N. E. 2d 328, 163 Ohio St. 35; *Attorney General* v. *Lane*, 243 N. W. 6, 259 Mich. 283, cert. denied; *Lane* v. *Voorhies*, 53 S. Ct. 115, 287 U. S. 654, 77 L. Ed. 565.

It has been held that proceedings for the disbarment or suspension of attorneys are judicial proceedings and not criminal proceedings, *In re Gladstone*, D. C. N. Y. 28 F. Supp. 858; *Doe* v. *Rosenberry*, C. A. N. Y. 255 F. 2d 118; *Phipps* v. *Wilson*, C. A. Ill. 186 F. 2d 748. The New York Court of Appeals has called an inquiry into the conduct of an attorney a quasi-administrative remedy, *People ex rel. Karlin* v. *Culkin*, 248 N. Y. 465.

The cases cited by petitioner in support of his contention that the Fifth Amendment applies to disciplinary proceedings all relate to criminal matters. *Boyd* v. *United States*, 116 U. S. 616, and *Lees* v. *United States*, 150 U. S. 476, were actions in which the answers to certain questions asked of the individuals involved might have clearly tended to incriminate them. In addition, the individuals who were subjects of suit in *Boyd* and *Lees* protested the production of the records sought by the government in each case and asserted the privilege against self-incrimination at the outset. This aspect of the instant matter will be discussed under a separate point dealing with petitioner's waiver of his Fifth Amendment privilege.

Cummings v. *Missouri*, 4 Wall. 277, and *Ex Parte Garland*, 4 Wall. 333, both involved statutes which were clearly penal in nature. Contrary to petitioner's assertion, it is obvious upon close review of the law that the cases cited are irrelevant to the issue here and hardly persuasive for the proposition that disbarment is "within the compass of the Fifth Amendment's . . . protection."

The vitality of *Cohen* v. *Hurley*, 366 U. S. 117, is currently being challenged by *Spevack* v. *Klein*, No. 944, October Term, 1965. Both Cohen and Spevack invoked their constitutional rights against self-incrimination in the traditional way. In each case, the attorney advised the Court that his answers might lead to possible criminal prosecution. Here, petitioner admits that it is only disbarment he fears, not criminal prosecution.

POINT II

Assuming, *arguendo*, that the privilege against self-incrimination was applicable herein, petitioner waived his claim thereto.

Even if it were held that the Fifth Amendment privilege extended to questions, the answer to which might subject the attorney to possible disciplinary proceedings, the record amply supports the contention that petitioner waived the privilege in testifying before the respondent.

The record before the respondent is replete with petitioner's assurances that he intended to cooperate with the inquiring body to the fullest extent. Respondent has already catalogued some of petitioner's statements of intention in the chronology of facts above.

Petitioner did not challenge the issuance of the subpoena lawfully served upon him on December 9, 1963. In fact, he appeared before respondent with his attorney, in compliance thereto and testified fully while invoking no privilege at any time. Petitioner cannot be heard now to say that he was coerced into testifying. Not until he interposed his answer to the charges did petitioner raise the issue of privilege and coercion, many months after he had testified at length.

With respect to the questioned subpoena, petitioner failed to avail himself of his lawful remedy under Section 2304 of the New York Civil Practice Law and Rules, which provides for a motion to vacate or quash a subpoena. Thus petitioner might have validly tested the propriety of the subpoena's issuance or the relevancy and materiality of the documents sought to be produced. He failed to do so.

Petitioner's conduct before the respondent with reference to his testimony and his failure to challenge the subpoena clearly constitutes a waiver of his privilege under the Fifth Amendment to the United States Constitution.

The cases cited by petitioner in support of his contention that the use of portions of his Committee testimony before the referee violated his Fifth Amendment rights are not relevant to the issue presented here. *Wan* v. *United States,* 266 U. S. 1, *Bram* v. *United States,* 168 U. S. 532 and the recently decided *Miranda* v. *Arizona,* No. 759, October Term, 1965, stand for the principle that involuntary confessions are inadmissible in criminal proceedings.

This Court's recent decisions in the field of criminal law relate more particularly to the right of a suspect to remain silent during a period of custodial interrogation. The

Court has addressed its attention to the effect of private, police interrogation upon the emotional state of the suspect who may be accused of a crime. *Miranda* dealt at length with the individual's immediate right to counsel in order to protect his rights under the Fifth Amendment. Here, petitioner was fully represented by counsel at all stages of the proceeding.

Another distinction between petitioner's matter and the cases of *Cohen* v. *Hurley, supra,* and *Spevack* v. *Klein, supra,* is noted: Unlike the instant case, both *Cohen* and *Spevack* involve absolute refusals to testify before the disciplinary agency. In neither case did the respondent testify willingly before the body conducting the inquiry, nor did the subject attorney comply with the directions of a subpoena duces tecum lawfully served.

Petitioner's application to the Appellate Division which sought an order directing the reception in evidence of his entire Committee testimony constitutes an additional waiver of his Fifth Amendment privilege.

Petitioner's notice of motion dated October 20, 1965, returnable October 22, 1965, was supported by his affidavit sworn to October 21, 1965. A portion of the affidavit has been set forth in the statement of facts herein. Petitioner characterizes his assertion of the privilege against self-incrimination as a "purely formal position," further advising the Court that he testified "fully and freely and answered all questions . . . knowing that such would be admissible in evidence against me in any subsequent disciplinary hearing as extra-judicial admissions." Petitioner clearly advised the Court of his desire to wipe away any "connotation" that he had "taken the Fifth Amendment in

a professional inquiry concerning my own fitness to practice..."

At the time petitioner made the above application, he was adequately represented by counsel of his own choice.

In addition, it is noted that petitioner, in his answer of July 22, 1964, to the petition, generally denied the allegations contained in the charges against him. In thus addressing himself to the merits of the case, it is submitted that petitioner waived his rights under the Fifth Amendment.

Petitioner's posture with regard to the use of his Committee testimony might well be summarized at this point:

> Before the referee, the respondent sought to introduce petitioner's entire testimony, which offer met with petitioner's vigorous objection. The respondent then offered portions of the testimony as admissions against interest.
>
> The petitioner then sought to have the proceeding reopened so that his entire testimony might be incorporated into the record. Thus, in his first about-face, petitioner attempted to obtain the result which would have been the fact, but for his own opposition to the respondent's offer of proof before the referee.
>
> Now comes the petitioner before this Court with his newest about-face. He contends that his testimony before respondent, which he sought to exclude before the referee, but which he prayed to have set forth in its entirety before the Appellate Division, is the product of an unconstitutional deprivation of his rights.

It is submitted that petitioner's privilege against self-incrimination cannot thus be turned on and off.

POINT III

Assuming, *arguendo*, that petitioner's invocation of the privilege against self-incrimination was proper and timely, his disbarment was not precluded thereby.

By virtue of a license granted by the State, petitioner has been given the status of attorney and permitted to exercise the rights flowing therefrom. Simultaneously with the issuance of the license, the State imposed by law, certain responsibilities upon the licensee. In the case of an attorney, these include the obligation to accept assignment to represent indigent defendants without compensation and the status and responsibility of an officer of the Court, including the requirement to maintain certain records in contingent fee cases [Special Rules, Rule IV (1)(a), (2)(a) and (6)] and to make them available to the Appellate Division upon request. The latter requirement is not only reasonable upon its face, but is mandated by long history and experience with the contingent fee.

The five counties of New York City are located in the First and Second Judicial Departments of New York. In January of 1928, the Appellate Division, First Department, was presented with a petition of the three major bar associations of the Department, requesting the Court to order an investigation into the conduct of attorneys engaged in "ambulance chasing," *In re Association of the Bar of the City of New York*, 222 A. D. 580, 227 N. Y. Supp. 1. Shortly thereafter, a similar petition was presented to the Appellate Division, Second Department, by the Bar Associations of Kings and Queens Counties, and that Court also ordered an investigation. In its order, the Court stated:

> "[If] the calendars of the court have been congested by causes tainted with corrupt practices appropriate court rules may be adopted according to law, . . . which will bring this condition of affairs to a speedy end and prevent a recurrence thereof." *In re Brooklyn Bar Association*, 223 A. D. 149, 227 N. Y. Supp. 666.

The authority of the First Department to conduct such an investigation and to compel an attorney to testify was promptly challenged and vindicated in *People ex rel. Karlin* v. *Culkin, supra.* In that decision, Judge Cardozo recited the evils that the investigation was designed to uproot:

> "'Ambulance chasing' was spreading to a demoralizing extent. As a consequence, the poor were oppressed and the ignorant overreached. Retainers, often on extravagant terms, were solicited and paid for. Calendars became congested through litigations maintained without probable cause as weapons of extortion."

As a result of the disclosures of the 1928 investigations, the Appellate Division, First and Second Departments, each promulgated special rules designed to closely regulate the practice. The rules, by their terms, were directed at those attorneys who chose to practice in the area of personal injury claims on a contingent fee basis.

In spite of these rules, this area of practice has been the source of recurrent abuses and scandals, and in succeeding investigations, many attorneys have been disciplined and a number have been convicted of felonies.

Accordingly, the Appellate Division, First and Second Departments, found it necessary to promulgate a rule regu-

lating the size of the contingent fee which an attorney may lawfully exact in a particular case. The authority of the Department was once more challenged and once again vindicated, *Gair* v. *Peck*, 6 N. Y. 2d 97, cert. den. and app. dism., 361 U. S. 374:

> "The duty of the Appellate Divisions to keep the house of the law in order, does not hinge upon whether clients, worn down by injuries, delay, financial need and counsel holding the purse strings of settlement, knowing little about law or lawyers, have had the stamina to resist in Court by hiring other lawyers to be paid out of the other half of the recovery for defending against the first lawyer .... In this one Judicial Department, over 60% of the 150,000 contingent fee agreements filed each year provide that 50% of the recovery shall be paid to the lawyer ..."

Reliance upon the complaints of clients did not provide an effective means for containing and remedying the abuses inherent in the contingent fee system. Thus the client was often unaware of his rights and fearful of the consequences attendant upon his making a complaint against his attorney. Consequently, on February 3, 1959, the Appellate Division, First Department, created by order, the Co-ordinating Committee on Discipline of the Association of the Bar of the City of New York, the New York County Lawyers' Association, and the Bronx County Bar Association, the respondent herein, for the purpose of conducting a continuing inquiry in this area. The Committee was given the power of subpoena, the right to question witnesses under oath, and the right to require attorneys to produce their files and records which the rules require them to maintain.

In the light of these circumstances, the "record-keeping" requirements and the obligation of an attorney to provide relevant information is a proper and indeed necessary exercise of the supervisory power vested in the Courts.

Absent any constitutional question, the prerogative of the State to attach reasonable requirements to the issuance and maintenance of a license creating rights in a licensee, cannot be challenged. It is now contended that where the failure of the licensee to fulfil such reasonable requirements attendant upon his license is predicated upon the privilege of self-incrimination, the requirements of the State are nullified and the State compelled to continue the license in full force despite such failure. Such a conversion of the privilege against self-incrimination from a shield into a sword, striking down otherwise proper provisions of law, is not only unwarranted, but would effectively destroy the administrative process.

Such a conversion of the privilege against self-incrimination would not only require the Appellate Division to continue to certify petitioner as an attorney in good standing despite his refusal to comply with the requirement that he produce records concerning his conduct as an attorney, but would also (1) require the State to continue to keep in force a license to an individual to carry a concealed weapon despite that individual's refusal to answer the question, upon periodic application for renewal, "For what purpose do you intend to use the weapon?", upon the ground that to do so would tend to incriminate him; (2) require the State to keep in force a driver's license to an individual despite that individual's refusal to answer the question, upon periodic application for renewal, "Have you ever been involved in an accident resulting in fatalities?", upon

the ground that to do so would tend to incriminate him, and (3) prohibit a court from removing a trustee of funds appointed by it who refused to account on the ground that to do so would tend to incriminate him.

This Court, has already rejected the contention that the privilege against self-incrimination not only protects an individual from direct compulsion to answer incriminating questions, but also immunizes him from the consequences of failing to perform duties otherwise required of him by law. Thus, in the so-called "loyalty cases" (*Beilan* v. *Board of Education,* 357 U. S. 399, *Lerner* v. *Casey,* 357 U. S. 468, and *Nelson* v. *County of Los Angeles,* 362 U. S. 1) the Court recognized the right of the State to terminate the professional status granted by it to individuals where they refused, on the grounds of the privilege against self-incrimination, to respond to inquiries there held to be reasonably related to such status. Even in *Slochower* v. *Board of Education,* 350 U. S. 551, cited by petitioner, the Court recognized this principle where it stated (at p. 558):

> "It is one thing for the city authorities themselves to inquire into Slochower's fitness, but quite another for his discharge to be based entirely on events occurring before a federal committee whose inquiry was announced as not directed at the property, affairs, or government of the city. . . ."

These cases have been criticized, not for the underlying principles enunciated therein, but because there is some doubt as to whether inquiries concerning past political affiliation were relevant to the professional status there involved. In the instant matter, no such doubt exists, for the inquiry was directly related to petitioner's conduct as an attorney pursuant to license issued to him by the State.

POINT IV

None of the evidence herein was improperly obtained.

The disciplinary proceeding which resulted in petitioner's disbarment was not based upon information obtained through the theft of his files.

There is no finding of fact as regards the "purloined document" issue. Simply and frankly stated, petitioner manufactured a straw man—the "theft" of his files—and submitted no proof to support his charge that the respondent was the beneficiary of the proceeds of a theft. The fact is that petitioner's charges have no evidentiary support.

The genesis of respondent's inquiry has been set forth at length. Petitioner argues that certain evidence obtained by respondent should have been suppressed as being violative of the Fourth Amendment. Petitioner's references to "stolen papers" are totally without authority. The so-called theft of petitioner's files is not worthy of consideration since it is completely unsubstantiated by any evidence whatsoever, and merely calculated to becloud the real issue—petitioner's misconduct and consequent unfitness for the practice of law.

Assuming, *arguendo,* that petitioner's files were stolen by a former associate of his, respondent's use of such files and records would, nevertheless, not be improper under the doctrine of *Burdeau* v. *McDowell,* 256 U. S. 465.

In this landmark decision, the Court held that the federal government had a right to maintain custody of certain incriminating documents which had been turned over to the Justice Department by private citizens. These individuals

had obtained the documents by a wrongful search of the owner's private office without the participation or knowledge of any government official.

In determining the right of the government to use these stolen documents as evidence in a criminal prosecution against their owner, the Court stated (256 U. S. at 475):

> "The Fourth Amendment gives protection against unlawful searches and seizures, and . . . its protection applies to governmental action . . . it was intended as a restraint upon the activities of sovereign authority and was not intended to be a limitation upon other than governmental agencies; as against such authority it was the purpose of the Fourth Amendment to secure the citizen in the right of unmolested occupation of his dwelling and the possession of his property, subject to the right of seizure by process duly issued."

In *Burdeau*, the fact that evidence had been unlawfully seized by private individuals was beyond question. Safes were blown apart and desks forced open. In the instant matter, no unlawful search or seizure has been found to have occurred.

Petitioner cites *McNabb* v. *United States*, 318 U. S. 332, to support his argument for suppression. In an effort to connect *McNabb* with the issue raised by petitioner's fourth point, he has selected a portion of *McNabb* and placed it out of context. Petitioner, citing *McNabb*, states (page 15 of his petition):

> "The use as evidence of these stolen papers or the fruits of their disclosure cannot be upheld 'without making the Courts themselves accomplices in willful disobedience of law.'"

In fact, however, *McNabb* was concerned with the admissibility of confessions in the federal Courts when federal officers failed to promptly arraign defendants accused of a crime.

Shelley v. *Kramer*, 344 U. S. 1, *Burton* v. *Wilmington Parking Authority*, 365 U. S. 715, and *Bell* v. *Maryland*, 378 U. S. 226, which are also cited by petitioner to support his suppression argument are just as irrelevant to the issue as is *McNabb*. These three cases construe the Fourteenth Amendment's equal protection clause and involve state enforcement of discriminatory acts committed by individuals.

United States v. *Price*, 383 U. S. 787, and *United States* v. *Guest*, 383 U. S. 745, are clearly inapplicable here. These are cases arising in Mississippi and Georgia which construe the 1865 and 1964 Civil Rights Acts against persons who deprive any citizen of his civil rights.

Mapp v. *Ohio*, 367 U. S. 643, *Elkins* v. *United States*, 364 U. S. 206, and *Rea* v. *United States*, 350 U. S. 214, all refer to criminal matters in which evidence was illegally obtained by state officers. They fail to enhance the strength of petitioner's argument since he has never alleged that agents or employees of respondent have illegally seized his papers, and these three cases patently refer to state action. See also: *Linkletter* v. *Walker*, 381 U. S. 618, 636, in which this Court, in denying retroactivity to *Mapp*, held that all of the cases since *Wolf* v. *Colorado*, 338 U. S. 25, have been based on the necessity for an effective deterrent to police action.

POINT V

Petitioner's rights to due process were scrupulously protected.

Petitioner was not denied his rights under the due process clause of the Fourteenth Amendment.

Contrary to petitioner's assertion, there was nothing "sordid" about the manner in which the inquiry began. The allegations of "extortion" and "stolen documents" are not issues, since no evidence was adduced to support either charge.

Neither can it be contended that petitioner was "coerced" into testifying. He freely testified before the respondent without raising any constitutional questions and never challenged the issuance of a subpoena upon him. Assuming he had a right to assert his Fifth Amendment privilege, he effectively waived it as discussed above.

Petitioner complains that the referee refused to consider certain explanatory testimony which he sought to have received in evidence. Petitioner refers (petition, page 5) to pages 859 to 867 of the transcript of testimony before the referee. A review of this testimony indicates a proper refusal by the referee to receive in evidence the testimony of one Nathaniel Rankow, given before the respondent.

Respondent's trial counsel properly objected to its reception upon the ground that it was not a legal substitute for the live testimony of the witness, who would thereafter be subject to cross-examination. The referee, giving petitioner every leeway, excluded the testimony on proper state grounds.

Petitioner's assertion that the disciplinary proceeding violated the fundamental fairness standard of the due process clause of the Fourteenth Amendment is without merit. Apart from the substantive allegations already discussed, the procedures followed by the respondent were adopted to safeguard the rights of attorneys:

(1) Petitioner was given written notice of the investigation of his practice prior to the interrogation of any witnesses (other than the original complainant) by respondent.

(2) The investigation concentrated on closed accident cases.

(3) The petitioner was granted the privilege of being represented by counsel of his own choice when he was questioned during the preliminary investigation, and his counsel was present and participated in petitioner's hearings, even though this Court has held in *Matter of Anonymous 6 and 7* v. *Baker*, 360 U. S. 287, that in a preliminary investigation such as this, which is analogous to a grand jury investigation, counsel for an attorney may not be present in the hearing room during the interrogation.

(4) Witnesses other than petitioner who were questioned during the preliminary investigation of petitioner's professional conduct were granted the right of counsel.

(5) Petitioner was permitted to obtain a copy of the transcript of his testimony given in the preliminary investigation.

(6) Petitioner had his full day in court in the hearing before the referee, where he was confronted with the witnesses who testified against him and was given the fullest opportunity to cross-examine these witnesses.

In *Ex Parte Wall*, 107 U. S. 265, this Court, discussing the nature of a disciplinary proceeding, stated (at pp. 288, 290):

> "The power to do this [impose discipline for professional misconduct] is a rightful one; and, when exercised in proper cases, is no violation of any constitutional provision.
>
> * * * * *
>
> "We have seen that, in the present case, due notice was given to the petitioner, and a trial and hearing was had before the court, in the manner in which proceedings against attorneys, when the question is whether they should be struck off the rolls, are always conducted.
>
> * * * * *
>
> ". . . the action of the court in cases within its jurisdiction is due process of law."

CONCLUSION

The petition for writ of certiorari should be denied.

Dated: August 25, 1966

Respectfully submitted,

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On the Brief

SUPREME COURT OF THE UNITED STATES

OCTOBER TERM, 1966.

KAYE *v.* CO-ORDINATING COMMITTEE ON DISCIPLINE OF ASSOCIATION OF BAR OF CITY OF NEW YORK, ETC.

ON PETITION FOR WRIT OF CERTIORARI TO THE APPELLATE DIVISION OF THE SUPREME COURT OF NEW YORK, FIRST JUDICIAL DEPARTMENT.

No. 300. Decided February 13, 1967.

PER CURIAM.

The petition for a writ of certiorari is granted. The judgment is vacated and the case is remanded to the Appellate Division of the Supreme Court of New York, First Judicial Department, for reconsideration in light of *Spevack* v. *Klein*, 385 U. S. 511.

MR. JUSTICE CLARK, MR. JUSTICE HARLAN, and MR. JUSTICE STEWART would affirm the judgment below for the reasons stated in the dissenting opinions of MR. JUSTICE HARLAN in *Spevack* v. *Klein*, 385 U. S. 520, and *Garrity* v. *New Jersey*, 385 U. S. 500.

MR. JUSTICE WHITE dissents for the reasons stated in his dissenting opinion in *Garrity* v. *New Jersey*, and *Spevack* v. *Klein*, 385 U. S. 530.